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CF-78



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.
Application No.: 10/699,859 Confirmation No.: 5126
Filed : October 31, 2003
For : ELECTRONIC SYSTEMS AND METHODS FOR
PROVIDING A TRADING INTERFACE WITH
ADVANCED FEATURES
Group Art Unit : 3623

New York, New York
June 1, 2004

Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

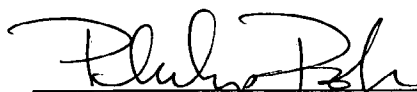
Transmitted herewith is a Supplemental Information
Disclosure Statement in the above-identified application.
This Statement is submitted:

- [] within three months of the application filing date;
- [X] more than three months from the application
filing date but before the mailing date of the
first Office Action on the merits.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Second Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Philip R. Roh
Reg. No. 51,176
Agent for Applicants
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000

I hereby certify that this
Correspondence is being
deposited with the U.S.
Postal Service as First
Class Mail in an envelope
Addressed to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450 on

June 1, 2004

Lillian Garcia


Signature of Person Signing

Sheet 1 of 1

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|---|--|--|----------------------------------|
| FORM PTO-1449 SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO. CF-78 | APPLICATION NO. 10/699,859 |
| | | APPLICANTS Howard W. Lutnick et al. | CONFIRMATION NO. 5126 |
| | | FILING DATE October 31, 2003 | GROUP 3623 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|--------------------|------|------|-------|----------|----------------------------------|
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLAS S | TRANSLATION | |
|---------------------|--------------------|------|---------|-------|--------------|-------------|----|
| | | | | | | YES | NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER INITIAL | |
|---------------------|---|
| | "Hot Keys Now Available," Success Trader Level II - Direct Access Trading, http://web.archive.org/web/20020928124458 (printed February 26, 2004). |
| | "NexTrend Releases Next Generation Electronic Direct Access Trading, EDAT, Technology Plus New and Expanded Market Analysis Features," Business Wire, Oct. 29, 2001, 2 pgs. www.findarticles.com/cf_dls/m0EIN/2001_Oct_29/79515988/p1/article.html . (printed March 2, 2004). |
| | "Neovest Updates Trade Execution," Neovest High Performand Trading Technology, August 31, 2001, http://www.neovest.com/recentarticles/article2001831.html . (printed March 2, 2004). |
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EXAMINER

/Hatem Ali/

DATE CONSIDERED

09/15/2008

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./